MINTZ LEVIN

MINTZ LEVIN

COHN FERRIS

GLOVSKY AND

POPEO PC

Boston Washington Resson New York New Haven Los Angeles

London

Chrysler Center 666 Third Avenue New York, New York 10017 212 935 3000 212 983 3115 fax www.mintz.com

### Fax Cover Sheet

DATE:

October 13, 2004

FROM:

Caryn DeHoratius

CLIENT:

NeuroNova AB

Direct Dial 212 692 6240 CDeHoratius@mintz.com

> Attorney No. 3041

Client No. 21882

Matter No. 517 UTIL

#### To:

NAME	COMPANY	BUSINESS#	FAX#
Office of Initial Patent Examination's Filing Receipt Corrections	United States Patent & Trademark Office		(703) 746-9195

#### MESSAGE:

Re:

U.S. Patent Application Serial Number: 10/718,071

Entitled: "Compounds and Methods for

Increasing Neurogenesis" Filed: November 20, 2003

Applicant(s): Göran Bertilsson, et al. Our Docket No. 21882-517 UTIL

NYC 299683v1

We are sending a total of 6 pages, including this cover sheet.

Please call us at 212.692.6826, if you experience any problems.

STATEMENT OF CONFIDENTIALITY

THE INFORMATION CONTAINED IN THIS FAX IS INTENDED FOR THE EXCLUSIVE USE OF THE ADDRESSEE AND MAY CONTAIN CONFIDENTIAL OR PRIVILEGED INFORMATION. IF YOU ARE NOT THE INTENDED RECIPIENT, YOU ARE HEREBY NOTIFIED THAT ANY FORM OR DISSEMINATION OF THIS COMMUNICATION IS STRICTLY PROHIBITED. IF THIS FAX WAS SENT IN ERROR, PLEASE IMMEDIATELY NOTIFY US BY PHONE.

PAGE 1/7 \* RCVD AT 10/13/2004 6:31:36 PM [Eastern Daylight Time] \* SVR:USPTO-EFXRF-2/1 \* DNIS:7469195 \* CSID:212 983 5756 \* DURATION (mm-ss):02-22

VIA TELEFAX: (703) 746-9195 Date of Deposit: October 13, 2004

Attorney Docket No. 21882-517 UTIL

#### IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANTS: Göran Bertilsson, et al.

SERIAL NUMBER: 10/718,071

**EXAMINER:** 

Not Yet Assigned

FILING DATE:

November 20, 2003

ART UNIT:

1617

FOR:

COMPOUNDS AND METHODS FOR INCREASING NEUROGENESIS

Office of Initial Patent Examination's Filing Receipt Corrections
Commissioner for Patents
P. O. Box 1450
Alexandria, VA 22313-1450

as claimed by Applicant

#### REQUEST FOR CORRECTED FILING RECEIPT

1. Applicants request a Corrected Filing Receipt for the above-mentioned patent application.

	Applicants enclose a copy of the Filing Receipt with the corrections noted thereon. Issuance of a corrected filing receipt is respectfully requested.  There is an error with respect to the following data, which is:				
2.					
	incorrectly entered				
and/or					
omitted.					
	Error in		Correct data		
	1.	Applicants' name (first, last name)	Anders Haegerstrand		
	2. 🔲	Applicants' address			
	3. 🔲	Title			
	4. 🔲	Filing Date			
	5. 🔲	Serial Number			
	6. 🗌	Foreign/PCT Application Re:	·		
	7. 🔲	Continuing Data			
	8. 🗀	Other-Domestic Priority data			

<sup>3.</sup> Applicants believe that no fee is due. However, the Commissioner is authorized to charge any additional fees that may be due, or to credit any overpayment, to Deposit Account No. 50-0311, Reference Number 21882-517 UTIL.

Applicants: Göran Bertilsson, et al.

U.S.S.N.: 10/718,071

#### · 4. Other documents:

Copy of Filing Receipt with changes noted thereon.

Respectfully submitted,

Dated: October 13, 2004

Eric Sinn, Reg. No. 40,177
Caryn DeHoratius Reg. No. 45,881
MINTZ, LEVIN, COHN, FERRIS, et al.
Attorneys/Agents for Applicants
666 Third Avenue, 24th Floor
New York, NY 10017
Telephone (212) 025,2000

Telephone: (212) 935-3000 Telefax: (212) 983-3115



#### United States Patent and Trademark Office

UNITED NTATES DEPARTMENT OF COMMERCE United States Patents and Trademeck Officer Address COMMERCE FOR PATENTS RO Bast 450 Alexandra, Vagnes 22331-1450 Wey Purpology

FILING OR 371 IND CLMS FIL FEE REC'D ATTY.DOCKET NO DRAWINGS TOT CLMS **ART UNIT** APPL NO (c) DATE 689 21882-517 UTIL 10/718.071 11/20/2003 1617

**CONFIRMATION NO. 8658** 

Mintz, Levin, Cohn, Ferris, Glovsky and Popeo, P.C. The Chrysler Center 666 Third Avenue, 24th Floor New York, NY 10017

UPDATED FILING RECEIPT \*OC000000014020309\*

Corrected Filing Receipt

Date Mailed: 10/06/2004

Receipt is acknowledged of this regular Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Filing Receipt Corrections, facsimile number 703-746-9195. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

#### Applicant(s)

Goran Bertilsson, Vasterhaninge, SWEDEN; Rikard Erlandsson, Sundyberg, SWEDEN; Jonas Frisen, Stockholm, SWEDEN; Anders Haegestend; Danderyd, SWEDEN Haegers Trand Jessica Heidrich, Arsta, SWEDEN; Nina Hellstrom, Sodertalje, SWEDEN; Johan Haggblad, Vastgotagrand, SWEDEN; Katarina Jansson, Johanneshov, SWEDEN; Jarkko Kortesmaa, Stockholm, SWEDEN; Per Lindquist, Bromma, SWEDEN; Hanna Lundh, Solna, SWEDEN; Jacqueline McGuire, Stockholm, SWEDEN; Alex Mercer, Bromma, SWEDEN; Karl Nyberg, Uppsala, SWEDEN; Amina Ossoinak, Stockholm, SWEDEN; Cesare Patrone, Hagersten, SWEDEN; Harriet Ronnholm, Trangsund, SWEDEN; Lilian Wikstrom, Spanga, SWEDEN; Olof Zachrisson, Spanga, SWEDEN;

Done By [] File Folder Date Entry □ Docket Entry ☐ Docket Cross Off □ Previously Entered ☐ No Docketing Req C Order Copies (1) Annuities

Power of Attorney; The patent practitioners associated with Customer Number 35437.

#### Domestic Priority data as claimed by applicant

This appln claims benefit of 60/427,912 11/20/2002

Foreign Applications

If Required, Foreign Filing License Granted; 03/03/2004

The number of your priority application, to be used for filling abroad under the Paris Convention is, US10/718,071

Projected Publication Date: 01/13/2005

Non-Publication Request: No

Early Publication Request: No

\*\* SMALL ENTITY \*\*

Title

Compounds and methods for increasing neurogenesis

**Preliminary Class** 

514

## LICENSE FOR FOREIGN FILING UNDER Title 35, United States Code, Section 184 Title 37, Code of Federal Regulations, 5.11 & 5.15

#### **GRANTED**

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 37 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Office of Export Administration, Department of Commerce (15 CFR 370.10 (j)); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

#### **NOT GRANTED**

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR

Page 3 of 3

5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15(b).

# USPTO TO PROVIDE ELECTRONIC ACCESS TO CITED U.S. PATENT REFERENCES WITH OFFICE ACTIONS AND CEASE SUPPLYING PAPER COPIES

In support of its 21st Century Strategic Plan goal of increased patent e-Government, beginning in s June 2004, the United States Patent and Trademark Office (Office or USPTO) will begin the phasein of its E-Patent Reference program and hence will: (1) provide downloading capability of the U.S. patents and U.S. patent application publications cited in Office actions via the E-Patent Reference feature of the Office's Patent Application Information Retrieval (PAIR) system; and (2) cease mailing paper copies of U.S. patents and U.S. patent application publications with Office actions (in applications and during reexamination proceedings) except for citations made during the international stage of an international application under the Patent Cooperation Treaty (PCT). In order to use the new E-Patent Reference feature applicants must: (1) obtain a digital certificate and software from the Office; (2) obtain a customer number from the Office; and (3) properly associate patent applications with the customer number. Alternatively, copies of all U.S. patents and patent application publications can be accessed without a digital certificate from the USPTO web site, from the USPTO Office of Public Records, and from commercial sources. The Office will continue the practice of supplying paper copies of foreign patent documents and nonpatent literature with Office actions. Paper copies of cited references will continue to be provided by the USPTO for international applications during the international stage.

#### **Schedule**

June 2004 July 2004 August 2004 TCs 1600, 1700, 2800 and 2900

TCs 3600 and 3700 TCs 2100 and 2600

All U.S. patents and U.S. patent application publications are available on the USPTO web site. However, a simple system for downloading the <u>cited</u> U.S. patents and patent application publications has been established for applicants, called the E-Patent Reference system. As E-Patent Reference and Private PAIR require participating applicants to have a customer number, retrieval software and a digital certificate, all applicants are strongly encouraged to contact the Patent Electronic Business Center to acquire these items. To be ready to use this system by June 1, 2004. contact the Patent EBC as soon as possible by phone at 866-217-9197 (toll-free), 703-305-3028 or 703-308-6845 or electronically via the Internet at <u>ebc@uspto.gov</u>.

#### **Other Options**

The E-Patent Reference function requires the applicant to use the secure Private PAIR system, which establishes confidential communications with the applicant. Applicants using this facility must receive a digital certificate, as described above. Other options for obtaining patents which do not require the digital certificate include the USPTO's free Patents on the Web program (http://www.uspto.gov/patft/index.html). The USPTO's Office of Public Records also supplies copies of patents for a fee (http://ebiz1.uspto.gov/oems25p/index.html). Commercial sources also provide U.S. patents and patent application publications.

For complete instructions see the Official Gazette Notice. USPTO TO PROVIDE ELECTRONIC ACCESS TO CITED U.S. PATENT REFERENCES WITH OFFICE ACTIONS AND CEASE SUPPLYING PAPER COPIES, on the USPTO web site.